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01 100 1432634

Audit Report as per

ISO 9001:2015

for

Employees' Compensation Commission

4th & 5th Floor, ECC Building, 355 Sen. Gil Puyat

Avenue, 1209 Makati City

Philippines

Client	Standard	Certification Number	Audit Type
Employees' Compensation Commission	ISO 9001:2015	01 100 1432634	Surveillance Audit

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Client's representative

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Grace D. Senin, QMR

Audit (team) leader

Lionell Aala (Lead Auditor)

Audit team

Eufronio Alonzo (Auditor), Rafael Magsino (Auditor)

Audit date

2024-12-09 - 2024-12-13

1. Audit result

Management system effectiveness was verified by an appropriately selected audit team. This applies in particular to the compliance of workflows with standard requirements and descriptions in the management system documentation. The audit objectives as mentioned in the audit plan, the special features of the organization's business activities, the applicable statutory and regulatory requirements set forth in other generally applicable documents were also take into account. This was done by means of a sampling approach, by conducting interviews and reviewing the appropriate documentation. Audit findings and recommendations regarding opportunities for improvement have been set forth in section 4 of this report.

Nonconformities from last audit	There were no nonconformities revealed during last audit.
Nonconformities current audit	The current audit did not reveal any nonconformities.
Re-Audit	A re-audit is not required. In case the current audit did reveal nonconformities please refer to the nonconformity report for more details.
Stage 1 Audit	The current audit is a surveillance audit. Hence, a stage 1 audit was not performed.

The organization has established and maintains an effective system to ensure compliance with its policy and objectives. The audit team confirms in line with the audit targets that the organization's management system complies with, adequately maintains and implements the requirements of the standard.

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Recommendations:

- Award of new certificates
- Maintenance of the existing certification
- Inclusion of the changes in the scope of application of existing certification

2. Scope

2.1. Description of the organization

The Employees' Compensation Commission (ECC) is a government corporate entity attached to the Department of Labor and Employment (DOLE) for policy and program coordination. It became operational in 1975 through PD 626 and was created primarily to "promote and develop a tax-exempt Employees' Compensation Program (ECP) whereby employees and their dependents, in the event of work-connected disability or death, may promptly secure adequate income benefit and medical or related benefits."

The Secretary of Labor and Employment chairs the eight-member Commission composed of the heads of the Social Security System (SSS) and the Government Service Insurance System (GSIS), the Chairperson of Philippine Health Insurance Corporation (PhilHealth), Chairperson of the Civil Service Commission (CSC) all ex-officio members, the ECC Executive Director and two members representing the employers' and employees' sectors appointed by the President of the Philippines. For the past many years, the DOLE Secretaries, owing to their many concerns, have designated Undersecretaries to sit in their behalf as chair-designate/alternate of the Commission as well as the heads of the SSS, GSIS, PhilHealth.

Mission:

"To ensure that the Employees' Compensation Commission (ECC) provides adequate and prompt benefits to employees and their dependents in the event of work-connected disability or death, and to promote and develop a tax-exempt Employees' Compensation Program (ECP) for the benefit of employees and their dependents." "To ensure that the ECC provides adequate and prompt benefits to employees and their dependents in the event of work-connected disability or death, and to promote and develop a tax-exempt Employees' Compensation Program (ECP) for the benefit of employees and their dependents."

Vision: To be the leading provider of quality services to employees and their dependents in the event of work-connected disability or death, and to promote and develop a tax-exempt Employees' Compensation Program (ECP) for the benefit of employees and their dependents.

Core Values:

Integrity, Customer Focus, Quality, Innovation, Teamwork, and Commitment to Excellence.

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K Y'XYU`k Jh`ci f`WjYbng`UbX`ch`Yf`di V`jWj`k Jh`i ha cghVti fhYgnz`dUhjYbWz`Vta dUggjcbz`UbX`XYXjWjhc`b/
K Y'XY`j Yf`YI W`YbngYfj jWg`dfca dhimUbX`ZJf`mhc`U`"

2.2. Scope of certification

Standard	Scope of certification
ISO 9001:2015	Public Administration that provides social services such as Development and Review of Policy on Employees' Compensation Program, Disposition of Employees' Compensation appealed cases, and Rehabilitation of Persons with Work Related Disability(PWRDs).

The organization has no shift operation.

Internal auditing throughout the multi-site organization was verified with a positive result. The management representative has appropriate authority over the sites included in the multi-site organization.

The audit was done on-site and didn't include any remote auditing activities.

Locations audited during the audit are marked accordingly within the table in the Annex to this report.

3. Changes in the management system / Contract review

The following major changes have been implemented in the management system and the management system documentation since the last audit:

- Change on Calamba Site address which located now at Marcelita Building Ground Floor. Brgy. Real. Calamba City, Laguna
- Change of manpower to total of 106

The implementation of these changes in the existing management system and the management system documentation was verified within the framework of the audit. The order details which form the basis of the

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audit (incl. scope) reflect the actual situation in the organization. However, changes on Site address in Site 2 as stated above has changed its address and total of manpower is 106.

The description of the scope in the certificate appropriately reflects the scope of the management system.

During the audit changes to the original audit plan were made. The changes are documented in the audit plan and were agreed with the customer on site.

4. Audit findings

The audit findings related to the audited standard are listed in the Annex to this report. In view of the sampling approach applied to the audit, weaknesses and nonconformities may still exist which have not been identified during the audit.

No.	Location / Department / Process	Positive findings
1.	REU XIII (May be true for all regions) / /	Improvement made to the Citizen's Charter are commendable: - Indicated specific names and job functions of responsibilities per agency action - Established a minimum annual review of its content
2.	Customer Satisfaction / /	Over-all customer satisfaction rating as presented in the management review which is in the increasing trend in the last 3 years is commendable.
3.	Awards and Recognition / /	Several awards and recognitions from different institutions have received by the organization; this shows that goals, advocacy of the organization is very valuable and impactful to the lives of many PWRD's.
4.	Overall Management / /	The Return to Work Program which currently started shows the continues effort,

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		<p>determination and dedication of the organization to help further PWRD's.</p> <p>The increase to 48 hospital partnership in relation to the organization's rehabilitation program is commendable.</p>
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The following recommendations and opportunities for improvement were identified during the audit and are intended to contribute to the continuous improvement of the management system.

No.	Location / Department / Process	Opportunities for improvement
1.	Site 1 - Central Office / Monitoring and Measurement of Performance – Appeals Division /	<p>> The Citizen's Charter requires 5 hours and 30-minute process time commitment to docket the appeals requested from SSS/GSIS. Ensure the process time for docketing is measured and evaluated towards improving the CC commitment.</p> <p>> Review the result of the KPI (DPCR) Disposition Rate of appealed cases. E.g., The target for disposition rate for appeals resolved within 20-days is 100%. For June 2024, the results a very low 14% only. Maybe, a cumulative YTD computation of the disposition rate is better formula.</p>
2.	Site 1 - Central Office / Information Technology /	Consider the need to have intervention on computer surrendered by employee upon resignation for proper assessment prior clearance approval.
3.	All Sites - General / Work Contingency Prevention and Rehabilitation Division/ REU's /	For WCPRD, consider to check possibility of collaborating with different institutions (e.g. Construction companies, PCAB) as they usually have Corporate Social Responsibility that may be beneficial for PWRB's).

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		<p>Though the organization have records of total unqualified program applicant, consider to monitor on a yearly basis those who are able to secure SSS EC Voucher.</p> <p>Currently the organization monitors the 1 year livelihood program. Consider to determine the status of those who had been 5 years recipient of starter /commentary kit.</p> <p>Consider to document the undertaking or oath with livelihood complimentary kit program emphasizing impact should client decided to not inform the real status of livelihood availed and pass thru its continuity to relatives / someone.</p>
4.	Site 1 - Central Office / Internal Audit /	<p>May need to improve the following:</p> <ul style="list-style-type: none"> - Audit checklist to refrain from standard statement to audit question. May make a question that could cater 2 to 3 subclause requirements specific to the processes being audited. - Documenting the sample of evidence gathered as outcome of processes being audited to ensure audit process takes place. - Clause matrix per process may be established as reference for audit planning/ audit checklist preparation. <p>As internal auditor assigned to audit Internal Audit Process, consider to have him/her also observe the audit conducted by other auditors to verify their consistency in conducting audit.</p>
5.	Site 1 - Central Office / Facility Maintenance /	<p>Progress on the application for FSIC will be checked next visit.</p>

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		Ensure inspection report of electrical wirings, panels, is available.
6.	Site 1- Central Office / Work Contingency Prevention Rehabilitation Division (WCPRD) /	<p>Targets and measures focuses on work effectiveness. Work efficiency performance evaluation may be infused by monitoring and measuring agency actions timeliness Vs Citizen's Charter processing time.</p> <p>Plan for action to address risk of unscheduled long-term absence of Admin Officer and/or Assistant.</p> <p>In Client Satisfaction Monitoring, obtained ratings lower than acceptable level need to be validated and followed through for possible improvement action(s).</p>
7.	Site 1 - Central Office / Quality Management Processes - PPSMD /	<p>The procedure manual for PPSMD defines the process for the Policy Formulation. Policy review, revision, or deletion process for existing policies should be defined also. Process performance measure should also be identified.</p>

5. Dates

Due date for the next audit	2025-12-18
Agreed date for the next audit	2025-11-18
Audit release date	2025-01-28

2024-12-28

Signature date



Signature

All information regarding the audit is treated as confidential. The audit team and the certification body.

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Annex ISO 9001:2015

Context of the organization
<p>The organization has determined internal and external issues related to the following subject areas:</p> <ul style="list-style-type: none"> • Re-organization per requirement of GCG • Emerging Work and Employee Arrangement • Return to Work Policy • Data Sharing • Resource sharing (e.g. manpower and facilities) • Political issues affecting potential prospects • Lack of manpower (Admin, Board Sec., IPAD) • Computerization of HR systems • Upgrading of timekeeping equipment and installation of CCTV in the regions • Installation of CCTV in the REU offices • Provide assistance on how Work Protect can move forward as priority legislation • Cases are course through the Local Ben RC to the SSC that are not sent to the ECC Appeal • <p>The organization has identified interested parties and the requirements of these parties. Examples for such parties are:</p> <ul style="list-style-type: none"> • Employees • Commission / Systems • Customers – public and private Filipino workers • Contractors/Suppliers • National Government and other regulatory agencies (DOLE/GCG, COA, BIR PhilHealth, GSIS, HDMF)
Policy and objectives
<p>Top management has declared its MS-policy binding and implemented. The MS-policy is appropriate and provides a framework for the respective objectives. It commits all employees to pursue continuous management system improvement. The objectives are measurable and are controlled, communicated and updated regularly. Key objectives include:</p> <p>MFO 1: Improved and Expanded Benefits and Services</p> <ul style="list-style-type: none"> • Policy Review and Development

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- Propose 2 EC policy issuances to enhance benefits and improve services by EO 2024:
 1. Approving the Progressive Increase in the Minimum Daily Income Benefit for EC Temporary Total Disability (TTD) in the Private Sector from Php110 to Php120 in 2023 and Php150 in 2025
 2. Issuance of Guidelines on the imposition of penalty for late entry of contingencies to the EC logbook
- Rehabilitation services for Persons with Work-Related Disability (PWRD)
 - ECC Kagabay Livelihood Projects:
 - 25% (51/205) of the KaGabay Livelihood beneficiaries provided with starter kits the previous year and with sustained livelihood are provided complementary kit by EO of December 2023
 - Comprehensive Rehabilitation Program Return to Work Assistance Program (RTWAP)
 - 8 workers enrolled to RTWAP Pilot by EO 2023
 - Awarded employers with successful PWRDs re-employed or completed occupational skills enhancement after completing RTWAP program
 - Recognition of Employers employing PWRD with NCDA (Q4 2024)
 - Katulong at Gabay sa Manggagawang May Kapansanan (KaGabay)
 - Facilitated the provision of various rehabilitation services to 590 PWRDs by EO December 2023
 - o Facilitated the provision of 400 livelihood / skills training with appropriate start-up kits to PWRDs
 - o Facilitated the provision of physical therapy / occupational therapy services to 120 PWRDs
 - o Facilitated the provision of prosthesis to 70 PWRDs
 - Quick Response Program (QRP)
 - Visited/monitored 100% of workers involved in work-related contingencies within one (1) month from date reported to ECC, for provision of psycho-social support to qualified beneficiaries
 - To provide a total of 120 Occupational Therapy, 70 Prosthesis, 300 Livelihood Program, 264 Starter Kit and 56 Complimentary Kit for 2024

Process control incl. outsourced processes

The processes available in the organization have been identified and documented. Process workflows and interactions have been described and appropriately controlled. The processes are evaluated at regular intervals by means of key performance indicators. Key processes within the scope of product realization include:

- Development and Review of Policy on Employees Compensation Program
- Disposition of Employees Compensation Appealed Cases
 - Rehabilitation of PWRDs
 - Provision of Livelihood program to PWRDs as part of Rehabilitation Program

The organization has no outsourced processes.

Risk-based thinking

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The requirements for risk-based thinking are being realized in the organization as follows:

Risk-based thinking has been applied for the following processes:

- (PPSMD) Policy, Programs and Systems Management Division
- (WCPRD) Work Contingency Prevention Rehabilitation Division (REUs and Central Office)
- (IPAD) Information and Public Assistance Division
- (FD) Finance Division
- (AD) Appeals Division
- ADMIN / HR
- Facilities Maintenance, ICT

Examples of risks and opportunities of processes identified are:

- SK Eligibility for PTD and PPD only
- AO brings on-hand cash during livelihood awarding
 - Loss of Learning Opportunity
- Lack of qualified applicants
- ICT Software and hardware incompatibility
 - Delay in transmittal to Appeals Division of Resolutions / Decisions from the CA and SC
 - Lack of leadership - based training
 - Delayed transmittal of checks to REU's which may results customer dissatisfaction and acquired program
- High staff turn over vs. workload affecting targets
- Submission of inaccurate or incomplete data / reports within the prescribed timeline

Examples of measures taken to react on identified risks are:

- Consider revision and reformulation of targets; Policy review/amendment
- Provision of vehicle
 - Annual competency assessment to be conducted by HR in collaboration with the employee's supervisor, re-entry plan after the training and outputs to ensure learnings from the intervention
- Boost Social media sourcing tools to expand reach for possible applicants
- Utilizing upgrade 100mbps ISP backup
- Ensure leadership based training is included and assess in the effectiveness of training

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- Not putting too much pressure on administrative task on REU's to focus on core activities

Examples of risks and opportunities concerning the context of the organization are:

- Data Breach
- Cases dispose beyond Process Cycle Time (PCT)
- Unresponsive table of Organization (Lack of manpower)
- Low number of PWRDS provided with services
- Incomplete data from systems
- Amendment of PD 626
- Lack of budget

Concerning risk based thinking the following tools are used:

- SWOT Analysis
- Needs And Expectation of Interested Parties
- Planned actions for Risk and Opportunity

Customer-related and other requirements

The organization analyses and evaluates customer requirements and/or enquiries and any documented, assumed, statutory and regulatory requirements within the scope of a production and feasibility study performed in a team. The person who prepared the offer reviews the contract to ensure its compliance with the offer and documents this compliance in an order confirmation. The same procedure applies to amendments.

The following process requirements significantly affect product or service quality:

- Formulation of EC Policy (EC-PM 04-01)
- Quick Response Program (ECC-PM 04-04)
- EC Appealed Case Disposition (ECC PM-04-02)
- Rehabilitation of Persons with Work Related Disabilities (PWRD's) ECC PM-04-03
- Advocacy and Information Dissemination (ECC-PM 04-05)
- Customer Satisfaction Measurement (ECC-PM 05-04)
- Purchasing of Supplies and Services (ECC PM-03-04)
- Selection and Evaluation of Suppliers (ECC PM-03-05)
- Evaluation Criteria for External Providers (ECC RM-08-01, ECC RM-08-02, ECC RM-08-03)
- Competency of manpower assessing health condition of applicant qualified for program

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Key regulatory, statutory and customer-related requirements include:

- GCG MC 2017-01 Interim Performance Based Bonus
- GCG MC 2017-02 Interim Performance Evaluation System for the GOCC Sector
- GCG MC 2018-03 Interim Rules and Guidelines for the Grant of Mid-Year Bonus, Year-End Bonus, and Cash Gift under EO36, s.2017 for FY and Years thereafter
- Implementing Rules and Regulation of P.D. No 626
- P.D. No. 1445 – Commission of Audit (Government Auditing Code of the Philippines)
- R.A. 9184 – Procurement Act of the Philippines
- P.D. No. 442 – Labor Code of the Philippines
- E.O. No 167 – Increasing the Amount of Certain Employment Compensation Benefits for Employees in the Private and Public Sector Increasing the Amount of Certain Employment Compensation Benefits for Employees in the Private and Public Sector Increasing the amount of certain Employment Compensation Benefits for Employees in the Private and Public sector.
- E.O. No. 134 – Granting of Career’s Allowance to employee’s compensation (EC) Permanent Partial Disability (PPD) and Permanent Total Disability (PTD) Pensioners in the Public Sector.
- Governance Commission for Government-Owned and Controlled Corporation (GCG) requirements
- Government Appropriation Act
- PD 626

Customer satisfaction and complaints

The organization maintains documented and effective procedures governing the handling of information, data analyses, improvement actions and responses to customer feedback. The organization gathered net overall satisfaction rating of 97.12% out of 4,349 respondents whereas 5 persons were dissatisfied and 103 very dissatisfied. Upon assessment, these feedbacks were not valid and no specific information on how dissatisfaction was given. For year 2024, the organization is yet to complete the entire feedback across all sites for appropriate assessment.

There's no customer complaint received for the year 2024. The manner of receiving complaints is thru direct email to Central Office and then relay to concerned extension unit as needed or also by receiving letter or email complaints or complain t from *8888.

Internal audit and management review

The organization measures the implementation, maintenance and effectiveness of the management system by means of annually scheduled system audits. The organization reliably carries out these audits by 21 qualified auditors and corrective actions are implemented without undue delay. Details of audit are as follows:

- Site 1 - Oct. 2, Sept. 16, 18, 24, 25 and 27 - 37 OFIs

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- Site 2 - Sept. 20, 2024 - 3 OFI
- Site 3 - Sept. 16, 2024 - 1 OFI
- Site4 - Sept. 27, 2024 - 1 OFI

Top management reviews the organization's management system at regular intervals and in line with the requirements to ensure its continuous suitability, adequacy and effectiveness. The management review was carried out in accordance with the requirements and was effective.

Date of last management review: 2024-11-11

Use of certificate and logo

The organization uses the logo and/or the certificate (e.g. on business cards, company brochures, websites etc.) in compliance with the requirements.

Standard Clause	4.1	4.2	4.3	4.4	5.1	5.2	5.3	6.1	6.2	6.3		
Rating *	1	1	1	1	1	1	1	1	1	1		
Major nonconformity	0	0	0	0	0	0	0	0	0	0		
Minor nonconformity	0	0	0	0	0	0	0	0	0	0		
Standard Clause	7.1	7.2	7.3	7.4	7.5	8.1	8.2	8.3	8.4	8.5	8.6	8.7
Rating *	1	1	1	1	1	1	1	2	1	1	1	1
Major nonconformity	0	0	0	0	0	0	0	0	0	0	0	0
Minor nonconformity	0	0	0	0	0	0	0	0	0	0	0	0
Standard Clause	9.1	9.2	9.3	10.1	10.2	10.3						
Rating *	1	1	1	1	1	1						
Major nonconformity	0	0	0	0	0	0						
Minor nonconformity	0	0	0	0	0	0						

- * Rating:
- 1 = conforming
 - 2 = not audited in this audit
 - 3 = nonconformity (see nonconformity report)
 - 4 = not applicable

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The following sites and their scopes are included in the scope of certification:

Certificate No.	Name / Address of site	Employees	Language	Scope of certification	Audited
01 100 1432634	Employees' Compensation Commission 4th & 5th Floor, ECC Building, 355 Sen. Gil Puyat Avenue, 1209, Makati City, Philippines	106	English	Public Administration that provides social services such as Development and Review of Policy on Employees' Compensation Program, Disposition of Employees' Compensation appealed cases, and Rehabilitation of Persons with Work Related Disability(PWRDs).	<input checked="" type="checkbox"/>
01 100 1432634/01	Employees' Compensation Commission 4th & 5th Floor, ECC Building, 355 Sen. Gil Puyat Avenue, 1209 Makati City, Philippines	97	English	Public Administration that provides social services such as Development and Review of Policy on Employees' Compensation Program, Disposition of Employees' Compensation appealed cases, and Rehabilitation of Persons with Work Related Disability(PWRDs).	<input checked="" type="checkbox"/>
01 100 1432634/02	Employees' Compensation Commission ECC Regional Extension Unit IV-A (CALABARZON) Marcelita Building Ground Floor, Brgy. Real,	3	English	Public Administration that provides social services such as Rehabilitation of Persons with Work Related Disability (PWRDs).	<input checked="" type="checkbox"/>

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Certificate No.	Name / Address of site	Employees	Language	Scope of certification	Audited
	Calamba City, 4027 Laguna, Philippines				
01 100 1432634/03	Employees' Compensation Commission ECC Regional Extension Unit VI (WESTERN VISAYAS) 4th Floor, 7J Corporate Center, Jalandoni cor Ledesma St., Brgy . Gloria, 5000 Iloilo City, Philippines	3	English	Public Administration that provides social services such as Rehabilitation of Persons with Work Related Disability (PWRDs).	<input checked="" type="checkbox"/>
01 100 1432634/04	Employees' Compensation Commission ECC Regional Extension Unit XIII (CARAGA) Ground Floor of Esperanza Fiel Garcia Bldg., New Road Brgy. Limaha cor Ochoa Ave., 8600 Butuan City, Philippines	3	English	Public Administration that provides social services such as Rehabilitation of Persons with Work Related Disability (PWRDs).	<input checked="" type="checkbox"/>